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| FORM PTO-1449 | SERIAL NO. 09/896,061 | CASE NO. 11927/90 |
| LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT | FILING DATE June 29, 2001 | GROUP ART UNIT 3692 |
| (use several sheets if necessary) | APPLICANT(S): D. Schmitz et al. | |

| EXAMINER INITIAL | OTHER ART – NON PATENT LITERATURE DOCUMENTS (Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published. | |
|------------------|---|---|
| | B1 | SEC Notice, Release No. 34-51107, SR-CBOE-2004-75, Federal Register Vol. 70, No. 23, dated Friday, February 4, 2005, pgs. 6051-6057 |
| | B2 | PCS Plus The Pacific Exchange, PCX Plus Overview, October 9, 2003, six pages |
| | B3 | Evans et al. "The Effects of Electronic Trading System On Open-outcry Commodity Exchange", Social Science 410, November, 1998 |
| | B4 | Wang, G. et al. "Information Transmission and Electronic Versus Open Outcry Trading Systems: An Intraday Analysis of E-Mini S&P 500 Futures, S&P 500 Index Futures and S&P 500 Cash Index", paper presented in Thailand on December 3-4, 2001 |
| | B5 | Tsang, R. "Open outcry and electronic trading in futures exchanges", Bank of Canada Review, Spring 1999, pp 21-39 |
| | B6 | Elind Computers Private LMTD, "Online Global Trading System for Marketplaces", brochure, dated 2002 |
| | B7 | C. Danis, et al. "Alternatives to an Open Outcry Market: An Issue of Supporting Cooperation in a Competitive Situation", IBM TJ Watson Research Center, USA, believed to have been published prior to April 24, 2003 |
| | B8 | Clemens et al., "Segmentation, differentiation, and flexible pricing: Experiences with information technology and segment-tailored strategies", Journal of Management Information Systems: JMIS, Vol. 11, No. 2, pp 9-36, Fall 1994 |
| | B9 | "Squeezing the poor", Guardian, p8, Feb. 11, 1997 |
| | B10 | "La libre competencia sacude a las electricas", Actualidad Economica, p. 18, Sept. 30, 1996 |
| | B11 | Souter, Gavin, "Bermuda's reinsurers eager to please", Business Insurance, Vol. 28, No. 44, p. 77, October 31, 1994 |
| | B12 | "The Electronic Component", The Options Institute Online Learning Center, obtained at the internet address: http://www.cboe.com/LearnCenter/cboeeducation/Course_02_02/mod_02_03.html dated 2003 |
| | B13 | "Self-Regulatory Organizations; Notice of Filing of Proposed Rule Change and Amendment No. 1 Thereto by the Pacific Exchange, Inc. Relating to the Exchange's New Trading Platform for Options, PCX Plus", 67 Fed. Reg. 69,580 – 69, 592 (Nov. 18, 2002) |

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| EXAMINER /Frantzy Poinvil/ | DATE CONSIDERED 04/24/2008 |
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.